



BANGLADESH SECURITIES AND EXCHANGE COMMISSION
Securities Commission Bhaban
E-6/C Agargaon, Sher-e-Bangla Nagar
Administrative Area, Dhaka1207, Bangladesh



BSEC/Enforcement/2788/2019/95
Dated: February 04, 2021

MAM Securities Limited
(DSE TREC No. 086)
Room # 315 & 308, Stock Exchange Building
9/F, Motijheel C/A, Dhaka-1000

Kind Attention: Managing Director/CEO


Sub: Non-compliance of securities laws: -Warning.

This refers to the Commission's Show cause cum hearing notice No. SEC/Enforcement/2788/2019/341 dated July 21, 2019 based on which the hearing was conducted on August 05, 2019.

The Commission, considering the explanation vide letter No. MAM/2019/08/09 dated 05 August 2019 and subsequent letter No. MAM/2019/10/19 dated 22 October 2019 submitted at the time of hearing, has decided to dispose of the proceedings against you (MAM Securities Limited) by placing on record the Commission's dissatisfaction on the default/contravention made by you with a warning to ensure compliance of all securities related laws in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of the default.

For Bangladesh Securities and Exchange Commission,


04.02.2021

Md. Sultan Salah Uddin
Assistant Director (Enforcement)
PABX: 88-02-55007131-2, Ext- 1318
E-mail: ssuddin@sec.gov.bd

Copy for information:

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O. to Director (Enforcement), BSEC.

“মুজিববর্ষের অঙ্গীকার উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”

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